

Applicant : Thomas Apple et al.  
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36. A method for dynamically displaying graphic symbols and value information for financial instruments, the method comprising:  
receiving a feed containing identifiers and corresponding values of financial instruments;  
extracting from the feed the identifiers and corresponding values of the financial instruments;  
retrieving graphic symbols associated with the extracted identifiers;  
forming a display signal including the retrieved graphic symbols and values corresponding to the financial instruments; and  
displaying on a monitor the graphic symbols [and] juxtaposed values corresponding to the financial instruments.

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#### REMARKS

The above-identified patent application has been amended and reconsideration and re-examination are hereby requested.

Applicants have enclosed a Notice of Appeal even though the instant rejection is not a final rejection, since the Examiner has twice rejected the claims in the application.

The Examiner objected to the drawings as being informal since the drawings, as filed, were photographs and color drawings. Applicants will submit substitute drawings in black and white, which comply with 37 CFR 1.84, upon indication of allowable subject matter.

The Examiner rejected claims 1-38 under 35 U.S.C. 103(a) as being unpatentable over Marshall, U.S. Patent 5,675,746 in view of Risberg, U.S. Patent 5,339,392 and further in view of Lauer, U.S. Patent 5,526,769.

Applicants have amended the claims with this rejection in mind. The claims, as amended, are patentably distinct over the cited references.

Applicants' claim 1 was amended to recite ... a database that stores graphic symbols that represent entities whose financial instruments are identified by the instrument identifiers ... As amended claim 1 is patentable distinct over the references, since the references neither describe nor suggest a database that stores graphic symbols that represent entities whose financial instruments are identified by the instrument identifiers ... and a display controller for forming

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display signals with the graphic symbols and values corresponding to the financial instruments in the feed... receiving the display signals to render the graphic symbols and values corresponding to the financial instruments in the feed on the individual monitors.

Applicants' claim 1, as amended, is patentably distinct over Marshall in view of Risberg and Lauer. Marshall recites two instances of company logos. At column 6, lines 33-34, Marshall states "Each company's corporate logo can be textured on the top or side of the polygon." and at column 10, lines 49-51, Marshall states "Or a company logo may be placed on an object in the virtual reality world to identify it as representing a stock of that corporation."

The Examiner relied upon Marshall for teaching graphic symbols/company logos.

However, Marshall does not suggest a database that stores graphic symbols that represent entities whose financial instruments are identified by the instrument identifiers in the feed. There is no teaching of a database to store graphic symbols that represent entities whose financial instruments are identified by instrument identifiers in the feed. Marshall only suggests the use of a company logo as a possible way of identifying objects in Marshall's virtual reality world.

Even at column 10 lines 49-51, the logo represents the object (representing a stock) in the virtual reality world. The Examiner also admits that Marshall does not disclose a display controller or the video wall including a plurality of video monitors and relies upon the latter two references Risberg and Lauer for these teachings.

Applicants submit that claim 1 is also patentably distinct over these references taken in conjunction with Marshall. Neither Marshall nor Risberg nor Lauer suggest a display ... for forming display signals with the graphic symbols and values corresponding to the financial instruments in the feed. Risberg discloses a conventional ticker display. The Examiner indicates that:

It would have been obvious to combine the display controlling means and scrolling ticker display means of Risberg with the financial information apparatus of Marshall because they share similar functions of observing and evaluating financial information represented through dynamic polygons and corporate logos containing financial data.

Applicants submit that this motivation is clearly in error. Marshall does not suggest association of a corporate logo with a value associated with the financial instrument. Therefore, it would not be suggested to modify Risberg with the teachings of Marshall to substitute

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corporate logos for stock ticker symbols in streams of trade data, as set out by the Examiner. Neither Marshall nor Risberg teach observing and evaluating financial information represented through dynamic polygons and corporate logos containing financial data. Marshall's sole use of a "corporate logo" is to place it on an object in the virtual reality world to identify it, i.e., the object as representing a stock of a corporation. The objects, which Marshall discloses, however, are polygons or other types of objects, which are metaphors for a financial instrument. Therefore, modifying Marshall with the teachings of Risberg is not suggested.

The motivation set forth by the Examiner to apply Lauer is set out below:

It would have been obvious to one of skill in the art at the time of the invention to utilize the teachings of the wall size display means of Lauer et al. with the teachings of the virtual reality generator for use with financial information (column 1, lines 5-7) because Lauer's plural display means serves as an output device of a large screen for the signals of Marshall that utilize displays driven in real time (column 1, lines 15-35).

Applicants submit that this motivation is also improper. There is no apparent reason why one of ordinary skill in the art of the virtual reality teachings of Marshall would be motivated to use a large wall size display means as taught by Lauer. There is no basis for considering that the virtual reality function of Marshall is useful with a wall size monitor as disclosed in Lauer. Hence, there is no suggestion of further modifying Marshall to provide a plurality of individual monitors... receiving display signals to render the graphic symbols and values corresponding to the financial instruments... as recited in claim 1. Accordingly, claim 1 is patentably distinct over the combination of references.

Applicants' claims 2-4 add further patentably distinct features to Applicants' invention. For example, Applicants' claim 3, which recites that the values include the current trading price of stocks, is not suggested by the base reference Marshall and there would be no suggestion of modifying Marshall to include current trading prices of stocks.

Claim 4, which recites that the graphic symbols include corporate logos for companies issuing stocks, is likewise not suggested by Marshall or the combination of references.

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Applicants' claim 5 is likewise patentably distinct over the combination of references since there is no suggestion of a control system that processes the display signal to produce a moving ticker display of corporate logos and values of trades and stocks.

Claims 6-14 add further patentably distinct features to Applicants' invention. Claim 9 for example recites that the display signals are fed to the individual monitors to render a different graphic symbol and associated financial data on each of the monitors

Applicants' claim 15 is patentably distinct over the references since the references neither describe nor suggest a data structure associating the financial instrument identifiers with graphic symbols with the graphic symbols being publicly acknowledged identifiers of entities whose financial instruments are identified by instrument identifiers in the feed.

Similarly, Applicants' claim 16 which recites using extracted financial instrument identifiers to find graphic symbols that are logos of entities associated with the extracted identifiers and forming a display signal with the graphic symbols and values corresponding to the financial instruments in the feed are neither described nor suggested by the combination of references.

Applicants' claim 17, as amended, calls for a display and an electronic device that produces a signal that when fed to the display scrolls market data across the display, the market data comprising a company logo ... juxtaposed ... real time textual data.

Applicants' claim 17 is patentably distinct over the combination of references. Marshall neither describes nor suggests a company logo being juxtaposed real time textual data. Marshall merely makes a brief reference to the use of a company logo to identify an object in a virtual reality world such by texturing the company logo on the top or side of a polygon, i.e., object.

There is no suggestion to modify Marshall to juxtapose a company logo with real time textual data. Moreover, there is no suggestion of modifying Risberg to substitute company logos for stock ticker symbols in a ticker feed as the Examiner suggests. Thus, claim 17 is patentably distinct over the combination of references. It is not understood how Lauer relates to claim 17.

Applicants' claims 18-26 add further patentably distinct features to Applicants' invention. For example, Applicants' claim 17 which recites that the electronic device is a computer responsive to a source containing financial information and the source contains a bit map data corresponding to the company logo is neither described nor suggested by the

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combination of references. Similarly, Applicants' claim 20 which recites that source of bit maps are contained in a database of logo bit maps is neither described nor suggested by the combination of references. The Examiner, for instance, points out at column 4, lines 48-67, column 5, lines 39-60 and column 12, lines 16-57 as containing support for a database/memory that stores graphic symbols that can be accessed by financial instrument identifiers to provide graphic symbols corresponding to financial instrument identifiers from the feed. There is no suggestion in those passages of a database/memory that provides graphic symbols corresponding to financial instrument identifiers. Moreover, there is no suggestion in that portion of Marshall of a database of logo bit maps as recited, for example, in claim 20.

Similarly, Applicants' claims 21-26 add further patentably distinct features to Applicants' invention.

Applicants' claim 27, as amended, is patentably distinct over the references since the references neither describe nor suggest displaying market data... comprising a company logo and ... real time textual data associated with the company logo ... juxtaposed the company logo.

As amended, claim 27 is patentably distinct over Marshall, Risberg and Lauer since the references do not suggest juxtaposing real time textual data with the company logo in the context of a method for displaying stock ticker information.

Applicants' claims 28-31 add further patentably distinct features to Applicants' invention. For example, claim 28 recites that displaying associates a data source containing financial information and a data source that contains bit map data corresponding to the company logo. There is no suggestion in the references of a data source that contains bit map images corresponding to company logos.

Applicants' claim 29 is likewise patentably distinct with respect to claim 28 and further recites that the company identifiers are used to access bit map images corresponding to company logos. Such action is not suggested by the teachings of Marshall.

Applicants' claims 30 and 31 add further patentably distinct features to Applicants' invention and are likewise patentable with respect to their base claim 27.

Applicants' claim 32 recites accessing graphic symbols in accordance with extracted instrument identifiers, associating extracted graphic symbols to produce a financial instrument ticker and displaying the financial instrument ticker, as a moving financial instrument ticker of

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graphic symbols juxtaposed corresponding values of the financial instruments across a video display. Neither Marshall, Risberg nor Lauer suggest accessing graphic symbols in accordance with extracted instrument identifiers or associating extracted graphic symbols with corresponding values of the financial instruments to produce a financial instrument ticker. In addition, the references do not suggest displaying the financial instrument ticker... of graphic symbols juxtaposed corresponding values of the financial instruments.... Therefore, claim 32 is patentably distinct over the references.

Applicants' claims 33 and 34 add further patentably distinct features to Applicants' invention. For example Applicants' claim 34 which recites correlating a bit map of a company logo with financial information contained in a database is not suggested by the references.

Applicants' claim 35 is likewise patentably distinct over the references since there is no suggestion to use the combination teachings of Marshall, Risberg and Lauer to provide a stock ticker that updates data in accordance with current market conditions, as recited in base claim 32.

Applicants' claim 36 is patentably distinct over the combination of references. The references neither describe nor suggest ... extracting from a feed identifiers and corresponding values of financial instruments, retrieving graphic symbols associated with the extracted identifiers and forming a display signal including the retrieved graphic symbols and values ... and displaying on a monitor the graphic symbols juxtaposed the values corresponding to the financial instruments.

Neither Marshall, nor Risberg nor Lauer suggest extracting, retrieving, forming or displaying the graphic symbols juxtaposed values corresponding to the financial instruments. The references neither describe nor suggest extracting ... identifiers and corresponding values of financial instruments. The references do not suggest retrieving graphic symbols associated with the extracted identifiers. Marshall for example, uses polygons, which produced by a user, which are graphic symbols that are not particular to any one stock or entity. Therefore, retrieving graphic symbols associated with extracted identifiers is not suggested by the references.

Applicants' claims 37 and 38, which depend respectively from claims 17 and 27, are likewise not suggested by the references since the references do not suggest that the combination of the market data corresponding to trades and financial instruments and the company logo is associated with the financial information corresponding to the market price of the financial

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instrument (claim 37) or claim 38 which recites the stock ticker information comprises trades of financial instruments.

Accordingly, it is submitted that the claims, as submitted and argued above, are now patentably distinct over the art of record and the application is in condition for allowance and such action is respectfully requested.

Please apply any other charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

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